

DDA AGENCY SELF ASSESSMENT

Business Operations- Policies and Procedures

| Deficiency citation number | IDAPA 16 .04.11 DEVELOPMENTAL DISABILITIES AGENCIES | Is agency in compliance YES NO N/A | | | COMMENTS If marked no state reason why agency is not in compliance. |
|----------------------------------|--|---------------------------------------|--|--|--|
| 16.04.11.009 | Does the agency have/enforce a policy/procedure that ensures that all employees, subcontractors, agents, and volunteers delivering DDA services have complied with Criminal History Check rules? | | | | |
| 16.04.11.421 | VOLUNTEERS: If volunteers are utilized by a DDA, did the agency establish written policies and procedures governing the screening, training, and utilization of volunteer workers. | | | | |
| 16.04.11.201.04g | Does the agency have a written code of ethics policy? Written code of ethics policy adopting a code of ethics relevant to professional activities with participants and colleagues, in practice settings (DDA). The policy must articulate basic values, ethical principles and standards for confidentiality, conflict of interest, exploitation, and inappropriate boundaries in the developmental disabilities agency's relationship with participants and with other agencies. The code of ethics adopted must reflect nationally-recognized standards of practice; | | | | |
| 16.04.11.201.n | Does the agency have written admissions and transition policies and procedures? | | | | |
| 16.04.11.201.04p and Section 905 | Does the agency have written participant grievance policies and procedures? Does it include contacts and timeframes for response from the agency? | | | | |
| | PARTICIPANT RIGHTS | | | | |
| 16.04.11.905.02 | Does the agency have a process and documentation assuring they provide each participant and his parent or guardian, where applicable, with a packet of information which outlines rights, access to grievance procedures, and the names, addresses, and telephone numbers of protection and advocacy services. This packet must be written in easily understood terms. (7-1-06) | | | | |
| 16.04.11.905.02 | Does the agency have a process and documentation to show that they assure the participant and, parent or guardian, where applicable, are provided with a verbal explanation of their rights in a manner that will best promote individual understanding of these rights. (7-1-06) | | | | |
| | HEALTH POLICIES AND PROCEDURES | | | | |
| | Does the agency have written Health Policies and Procedures that: | | | | |
| 16.04.11.510.01a | Describe how it will assure staff is free from communicable disease? | | | | |
| 16.04.11.510.01b | Describe how it will protect participants from exposure to individuals exhibiting symptoms of illness? | | | | |
| 16.04.11.510.01c | Describe how it will address any special medical or health care needs of particular participants being served by the agency? | | | | |
| 16.04.11.510.03 | Does the agency have policies and procedures to ensure that each employee with direct contact with participants is free of communicable disease and infected skin lesions while on duty? | | | | |
| | INCIDENT REPORTING | | | | |
| 16.04.11.510.04 | Does the agency have a process to assure Incident reports are completed for all accidents, injuries, or other events that endanger a participant? | | | | |

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| | | | | | |
| 16.04.11.510.04 | Does each report document that the adult participant's legal guardian, if he has one, or, in the case of a minor, the minor's parent or legal guardian, has been notified or that the participant's care provider has been notified if the participant or the participant's parent or legal guardian has given the agency permission to do so. | | | | |
| 16.04.11.510.04 | Does the agency have a policy requiring documented review of all incident reports be completed at least annually with written recommendations? | | | | |
| 16.04.11.201.04q | Does the agency have written policies and procedures for reporting incidents to the adult or child protection authority? | | | | |
| 16.04.11.510.04 | Does the agency's policy require these reports be retained by the agency for five (5) years? | | | | |
| | MEDICATION STANDARDS | | | | |
| 16.04.11.511.01 | Does the agency have written medication policies and procedures that outline in detail how the agency will assure appropriate handling and safeguarding of medications? If agency assists with medications complete the following: | | | | |
| 16.04.11.511.01 | Does the agency have written medication policies and procedures to assure that assistance with medications is safe and delivered by qualified, fully trained staff? Assurance that staff who assist have completed an approved Assistance with Medications course. | | | | |
| 16.04.11.511.04.g | Does the agency have written procedures for the disposal or destruction of medications? | | | | |
| | EMERGENCY EVACUATION | | | | |
| 16.04.11.201.04.v Also: 16.04.11.500.04.a | Does the agency have written policies and procedures regarding emergency evacuation procedures? *Evacuation plans with point of orientation, location of fire extinguishers, location of all fire exits and designated meeting area outside of the building. * Summary of fire drills (date/time, problems, corrective action) | | | | |
| 16.04.11.500.04.b | Does the agency conduct of quarterly fire drills, 2 of which include complete evacuation of the building and documentation standards. Amount of time it took to evacuate the building. | | | | |
| 16.04.11.500.03b Also 201.04.v.vi | Does the agency have written policies and procedures covering the protection of all persons in the event of fire and other emergencies in accordance with section 500? | | | | |
| | VEHICLE/TRANSPORTATION SAFETY | | | | |
| | Does the agency transport participants (by agency van or personal vehicle? If so complete the following: | | | | |

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| 16.04.11.501.02 also 201.04j | Does the agency have a written transportation safety policy and procedures that assures the following? | | | | |
| 16.04.11.501.01 | The agency has an established maintenance program for each agency owned vehicle. | | | | |
| 16.04.11.501.03 | The agency obtains and maintains licenses and certifications for drivers and vehicles for all employees who operate vehicles. | | | | |
| 16.04.11.501.04 | The agency assures drivers adhere to laws rules and regulations applicable to drivers and vehicles. | | | | |
| | The agency assures drivers continuously maintain liability insurance that covers all passengers. (If personal vehicles are used, agency must assure adequate coverage is carried). | | | | |
| | POSITIVE SOCIAL SKILLS | | | | |
| 16.04.11.915 | Does the agency have written policies and procedures that address the development of participants' social skills and management of inappropriate behavior. These policies and procedures must include statements that: | | | | |
| .01 | Focus on developing or increasing positive social skills. Positive social skills | | | | |
| .02 | Ensure and document the use of positive approaches to increase social skills and decrease inappropriate behavior while using least restrictive alternatives and consistent, proactive responses to behaviors. Prevention strategies | | | | |
| .03 | Address the possible underlying causes or function of the behavior and identifying what a participant may be attempting to communicate by the behavior. Function of behavior | | | | |
| .04 | Ensure that programs to assist participants with managing inappropriate behavior include teaching of alternative adaptive skills to replace the inappropriate behavior. Behavior replacement | | | | |
| .05 | Ensure that the safety, welfare and human and civil rights of participants are adequately protected. Protected rights | | | | |
| .06 | Ensure that objectives and intervention techniques are developed or obtained and implemented to address self-injurious behavior, aggressive behavior, inappropriate sexual behavior and any other behaviors which significantly interfere with the participant's independence or ability to participate in the community. Ensure that reinforcement selection is individualized and appropriate to the task and not contraindicated for medical reasons. Objectives and plans | | | | |
| .07 | Ensure that plans developed by the DDA involve the participant, whenever possible, in developing the plan to increase social skills and to manage inappropriate behavior. Participant involvement | | | | |

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| .08 | Ensure that programs developed by an agency to assist participants with managing inappropriate behavior are conducted only with the written informed consent of the participant and guardian where applicable. When programs used by the agency are developed by another service provider the agency must obtain a copy of the informed consent. Written informed consent | | | | |
| .09 | Ensure that programs developed by an agency to manage inappropriate behavior are only implemented after the review and written approval of the qualified professional. If the program contains restrictive or aversive components, the agency psychologist must also review and approve, in writing, the plan prior to implementation. When programs implemented by the agency are developed by another service provider the agency must obtain a copy of these reviews and approvals. Review and approval: | | | | |
| .10 | Ensure that interventions used to manage a participant's inappropriate behavior are never used: For disciplinary purposes; For the convenience of staff; As a substitute for a needed training program; or By untrained or unqualified staff. Review and approval | | | | |
| 16.04.11.905.02.e | Does the agency assure a participant's right to refuse to perform services for the agency? (These include services that would otherwise require an agency to pay staff or contractors to perform if not performed by participants for free.) If hired to perform the services, are they paid according to state and federal wage laws? | | | | |
| QUALITY ASSURANCE PROGRAM | | | | | |
| 16.04.11.900.01-02 | Does the agency have a quality assurance program that is an ongoing, proactive, internal review of the DDA and include the following:. | | | | |
| 16.04.11.900.01a | Services provided to participants produce measurable outcomes, are high quality, and are consistent with individual choices, interests, needs, and current standards of practice; | | | | |
| 16.04.11.900.01.b | Sufficient staff and material resources are available to meet the needs of each person served; | | | | |
| 16.04.11.900.01.c | The environment in which services are delivered is safe and conducive to learning; | | | | |
| 16.04.11.900.01.d | Skill training activities are conducted in the natural setting where a person would commonly learn and utilize the skill, whenever appropriate; | | | | |
| 16.04.11.900.01.e | The rights of a person with disabilities are protected and each person is provided opportunities and training to make informed choices. | | | | |
| 16.04.11.900.02.a | Does program include Goals and procedures to be implemented to achieve the purpose of the quality assurance program? | | | | |
| | Does the Quality Assurance program identify the following: | | | | |

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| 16.04.11.900.02.b | The person, discipline or department responsible for each goal? | | | | |
| 16.04.11.900.02.c | A system to ensure the correction of problems identified within a specified period of time? | | | | |
| 16.04.11.900.02.d | A method for assessing participant satisfaction? | | | | |
| 16.04.11.900.02.e | A regular review of the agency's code of ethics, identification of violations, and implementation of an internal plan of correction? | | | | |
| | Does the Quality Assurance Program ensure DDA services: | | | | |
| 16.04.11.900.03.a | Are developed with each participant and guardian where applicable, and actively promote the participation, personal choice and preference of the participant; | | | | |
| 16.04.11.900.03.b | Are age appropriate; | | | | |
| 16.04.11.900.03.c | Promote integration; | | | | |
| 16.04.11.900.03.d | Provide opportunities for community participation and inclusion; | | | | |
| 16.04.11.900.03.e | Offer opportunities for participants to exercise their rights; | | | | |
| 16.04.11.900.03.f | Are observable in practice; | | | | |

Notes: